



Kentucky Adult Education Policy and Procedure Manual

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[Data Collection and Reporting](#)

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Introduction

This manual contains policies and procedures of Kentucky Adult Education (KYAE), a unit of the Council on Postsecondary Education (CPE). KYAE is charged by the Adult Education Act (Senate Bill 1, April 2000) to improve the educational status of adult Kentuckians who do not have a high school diploma, who function at low levels of literacy or who want to learn the English language. Every county is served by an adult education provider that offers, at a minimum, adult basic education, GED preparation and family literacy. The instruction may also include life skills, employability skills and computer literacy. Providers may also offer English as a second language (ESL) and workforce education. Adult education programs in counties with full-service jails as recommended by the Kentucky Department of Corrections provide corrections education.

KYAE sets annual enrollment goals for core services, family literacy and corrections education. Enrollment goals for core services and family literacy are based on a percentage of the county's population at Literacy Levels 1 and 2 as determined by the Kentucky Adult Literacy Survey. Corrections education goals are based on jail bed capacity.

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Services

County adult education providers shall not charge students or employers for instructional or other services that are covered by state and federal adult education funds.

CORE SERVICES

Adult basic education, workforce education, English as a second language and GED preparation make up core services, which are the cornerstone of Kentucky Adult Education. Adult education programs shall provide free, direct and comprehensive services to enrolled adult students. Every provider shall operate one or more sites in the county to meet the unique learning needs of its residents. Fiscal agents shall provide services only in the counties for which they have contracted.

The basic grant funds adult basic education, which provides all levels of academic skills instruction for students who meet the eligibility requirements for enrollment and GED preparation. The instruction may also include life skills, employability skills and computer literacy.

Adult education providers are encouraged to provide the following services with basic grant funds:

- **English as a Second Language (ESL)** — ESL instruction assists individuals of limited English proficiency to achieve competence in the English language.
- **Workforce Education** — In collaboration with employers, workforce education is provided at worksites. Workforce education services include reading, writing, mathematics, GED preparation, workplace English as a second language, instruction leading to the Kentucky Employability Certificate or a Kentucky Manufacturing Skill Standards certificate, communication, critical thinking, team building, problem solving and computer literacy.

Providers are encouraged to utilize WorkKeys and emphasize preparation for the Kentucky Employability Certificate (KEC) and the Kentucky Manufacturing Skills Standard (KMSS) certificate.

Effort should be made to include an academic component in workforce education projects.

FAMILY LITERACY

Family literacy programs are designed to break the intergenerational cycle of under-education by providing opportunities for parents and their children to learn together.

Family literacy services shall contain the following integrated components: adult education, parent time, child education, parent and child time.

Adult education providers shall:

- Adhere to the [Kentucky Family Literacy Quality Indicators](#) and submit data on the family, including the child(ren) via AERIN.
- Ensure that programs are of sufficient quality, intensity and duration to make sustainable changes in a family. The four family literacy components shall be addressed each month.

Eligible family literacy participants include at least one child between the ages of birth and 18 years and at least one adult who is responsible for the child's well being and who is consistently an influence on the child's development. The adult student shall meet the eligibility requirements for participation in adult education.

The child education component is to be provided by other local educational agencies. Kentucky Adult Education funds may be used to provide the other three components. Facilities, programs and services shall comply with local, state and federal regulations for serving children.

LOCAL CORRECTIONS EDUCATION

Adult education programs in counties with full-service jails as recommended by the Kentucky Department of Corrections must provide corrections education in these jails unless the jailer states in writing that adult education services are prohibited.

Programs provide adult education instruction in all levels of basic academic skills for students who meet the eligibility requirements for enrollment. The basic skills instruction for correctional facilities may also integrate life skills, employability skills and computer literacy skills. Corrections enrollments are not counted toward the county enrollment goal.

WORKFORCE ALLIANCE

Through the Workforce Alliance, Kentucky Adult Education funds workforce education initiatives. Workforce Alliance grant proposals will be considered for approval individually based on merit and availability of funds. Before delivering services, a signed Memorandum of Agreement shall exist with the grant recipient. Alliance enrollments are not counted toward the county enrollment goal.

ELIGIBLE PARTICIPANTS

Through Workforce Alliance state funding, workforce education projects provide services to entry-level, frontline employees of business and industry in Kentucky.

Project participants must be individuals who lack sufficient mastery of workforce skills necessary to function successfully as workers.

ELIGIBLE PROVIDERS

Eligible providers for Workforce Alliance projects may include local educational agencies, community-based organizations of demonstrated effectiveness, volunteer literacy organizations of demonstrated effectiveness, institutions of higher education, public or private nonprofit agencies, libraries, public housing authorities and consortia of agencies, organizations, institutions, libraries or authorities as described above.

ELIGIBLE WORKFORCE EDUCATION ACTIVITIES

Eligible incumbent workforce education activities shall occur only when the employees are compensated for attendance by the employer, pre- and post-assessments are administered, and a final report is submitted to KYAE and the employer.

Potential employees may receive eligible pre-hire training with a commitment from businesses and industries to give hiring consideration to successful completers.

Individuals qualifying for Rapid Response Team services may receive eligible workforce training.

Workforce education projects are encouraged to emphasize preparation for the Kentucky Employability Certificate (KEC) and the Kentucky Manufacturing Skills Standard (KMSS).

Preference will be given to projects that include an academic component.

Eligible training includes reading; writing; mathematics; GED preparation; workplace English as a second language; instruction leading to certification in locating information, reading for information and applied math; instruction leading to the Kentucky Employability Certificate or a Kentucky Manufacturing Skill Standards certificate; communication; problem solving; critical thinking; team building; and computer literacy.

ELIGIBLE COSTS

The following costs are eligible when associated with one of the above training activities:

- Instructor salary
- Instructor travel (subject to approval)
- Instructional preparatory time
- Task analysis
- Assessments

- Curriculum development
- Instructional materials and supplies (not to include computer hardware)
- Administration costs not to exceed 15 percent of total grant expenditures

ELIGIBLE ALLIANCE GRANT DESIGN

Minimum project size: 10 participants

Maximum cost per student: \$500

Instruction must begin within two months of contract date.

ENGLISH LITERACY/CIVICS

This program incorporates English literacy and civics education for immigrants and other students with limited English proficiency who are not required to be enrolled in school. To participate effectively in the education, work and civic opportunities of this country, immigrants must not only master English but also be able to understand and navigate governmental, educational and workplace systems and key institutions, such as banking and health care.

The Federal Register (November 17, 1999) defined civics education as “an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation and U.S. history and government to help students acquire the skills and knowledge to become active and informed parents, workers and community members.” The term “English literacy” indicates a program of instruction designed to help individuals of limited English proficiency achieve competence in the English language.

Students in the English literacy/civics program must have limited English proficiency. These are eligible adults who have limited ability in speaking, reading, writing or understanding the English language and whose native language is one other than English or who lives in a family or community environment where a language other than English is the dominant language.

Based on the availability of federal EL/Civics funding, grants are made on annual basis through an RFP process determined by KYAE.

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Eligibility

Pursuant to Title II of the *Workforce Investment Act*, the [Kentucky Adult Education Act](#), eligible students are those individuals who:

- have attained 16 years of age;
- are not enrolled or required to be enrolled in secondary school under state law; and who
 - lack sufficient mastery of basic educational skills to enable the individual to function effectively in society;
 - do not have a secondary school diploma or its recognized equivalent, or have not achieved an equivalent level of education; or
 - are unable to speak, read or write the English language.

Individuals age 16-18 must provide official documentation of withdrawal from school.

In accordance with Title VI of the Civil Rights Act of 1964, adult education providers shall not discriminate on the basis of gender, race, color, age and/or national origin in its adult education and literacy programs, activities, employment or admission policies and practices.

Individuals with an F-1 Visa (student visa) status are ineligible for services and shall “not be accorded a course of study in a publicly funded adult education program.” [Source: U.S. Immigration and Nationality Act (Sec. 1101a(15)(F)(1)]

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Enrollment

Individuals shall be officially enrolled after completion of a KYAE-approved assessment (see “Assessment” section) and in compliance with eligibility requirements.

Individuals shall be officially enrolled in family literacy according to the family literacy performance indicators.

Virtual learners must complete a KYAE-approved assessment and meet eligibility requirements prior to accessing online courses.

County adult education programs shall maintain a folder on each student containing enrollment forms, assessment forms, standardized test scores and the student’s educational plan. Student folders must be kept on file for three years.

SEPARATION

Students shall be separated if the student has not participated in the adult education program for 90 consecutive days. Providers shall establish a local policy to separate learners who are not making progress as defined by measurable gains on assessment instruments or objectives outlined in the student education plan.

RE-ENROLLMENT

Adult educators may re-enroll separated students who reach achievements in the first quarter of the fiscal year following their separation (code 13).

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Assessment

INITIAL ASSESSMENT

- To determine the appropriate assessment to administer, adult educators should talk with students about educational and career goals.
- Providers shall administer an initial assessment at student orientation, or within a short period thereafter, and shall use the lowest test score in a subject area to determine a student's entry level. Parts of the assessment, such as reading or math, may be used. The assessment should be in areas in which instruction will be focused.
- All initial assessment results must be entered into AERIN.
- Individuals shall be officially enrolled upon completion of an approved assessment and in compliance with eligibility requirements. The program will maintain enrollment forms, assessment forms and the current educational plan on file for three years.
- The hours spent in orientation and assessment shall count toward the adult student's total attendance hours.

POST-ASSESSMENTS

- Interim and post-tests should be routine components of a program's instructional process.
- The student shall be assessed, at least once, after a standard instructional period, at the end of the class, prior to withdrawal, or at the end of the program year. It is recommended that students' progress be reassessed a minimum of every 50 hours.
- Providers shall use a different form of the same test for the follow-up assessment. For example, a TABE 9 pretest can be followed with a post-test using TABE 10 as long as it is in the same series. Exceptions are noted in the examiner's manual.
- All interim and post-test results must be entered into AERIN. If more than one assessment is given, the latest assessment determines educational functioning level completion or advancement.
- Providers shall use the lowest subject area test score to determine a student's progress.
- If no follow-up assessment of the student is made during the program year, the student must be counted as remaining in the same educational level as upon entry and cannot be reported as advancing to a higher functioning level.
- An "advance" or "completion" is recorded if, according to a subsequent assessment, the student has entry level skills corresponding to one or more levels higher than the incoming level in the areas initially used for placement.
- The GED Official Practice Test (OPT) shall be used to determine the readiness of the student to take the GED. The OPT may not be used as a measure of student progress in instructional programs.

ASSESSMENT PROCEDURES

- Adult educators must meet all vendor training requirements before administering assessments.
- Assessment instruments shall be administered in a proctored environment and in accordance with vendor and KYAE assessment guidelines.
- Reasonable accommodations for assessment shall be provided to any individual with a disability. Accommodated testing shall be in compliance with test publisher recommendations and the fiscal agent's policy and procedure regarding accommodations. Revised November 3, 2005 – See [History of Changes](#)
- Adult educators should consult the online PD calendar for KYAE training on assessments.

KYAE APPROVED ASSESSMENTS FOR DETERMINING ELIGIBILITY/ENROLLMENT

The following are approved enrollment assessments – providers must adhere to conditions in “Comments” below.

Approved Assessment	Comments
TABE 9/10 (recommended) TABE 7/8	<ul style="list-style-type: none"> ▪ TABE is to be used for ABE, corrections education and family literacy students. ▪ A student must score 11.9 or below to be eligible. ▪ Upon initial enrollment, the TABE Locator(s) should be used as one tool to help determine the appropriate level(s) of the TABE assessment to be administered. The Locator should be used in conjunction with any other measures of student performance the instructor may have to determine the appropriate level(s) of the TABE assessment to be administered. ▪ All assessments must be administered in a proctored environment and in accordance with vendor and KYAE assessment guidelines. Revised August 19 – See History of Changes
Workplace TABE	<ul style="list-style-type: none"> ▪ Workplace TABE may be used when the student's goals are to get a job, a better job or improve workforce skills. ▪ A student must score 11.9 or below to be eligible. ▪ All assessments must be administered in a proctored environment and in accordance with vendor and KYAE assessment guidelines. Revised August 4 – See History of Changes
WorkKeys	<ul style="list-style-type: none"> ▪ WorkKeys may be used when the student's goals are to get a job, a better job or improve workforce skills. ▪ Adults without a high school diploma may be initially assessed using WorkKeys and enrolled on this assessment <u>if</u> the student's WorkKeys level crosswalks to one of three NRS levels. (See NRS Levels below.)

	<p>This assessment should be administered only after an initial intake process indicates that the student will score well on the WorkKeys assessment. If the student's WorkKeys level falls below one of these three NRS levels, the student should be assessed on the TABE and enrolled according to TABE results.</p> <ul style="list-style-type: none"> ▪ Adults with a high school diploma should be assessed with a TABE to determine adult education eligibility (scoring 11.9 or below). If the adult is not eligible, he/she should be referred to KCTCS for a WorkKeys assessment. ▪ Adults with a high school diploma and a pre-existing WorkKeys level that qualifies them for adult education services (one of the three NRS levels) may be enrolled based on the WorkKeys assessment. ▪ To show level gains, students enrolled on a WorkKeys assessment must be post-tested using WorkKeys. ▪ Information on how to obtain scale scores for your students is available at www.kyae.ky.gov by clicking <u>scale scores</u>. ▪ All assessments must be administered in a proctored environment and in accordance with vendor and KYAE assessment guidelines.
<p>BEST, BEST Plus, Adult LAS, CASAS</p> <p>Per the Office of Vocational and Adult Education, U.S. Department of Education, Adult LAS is being phased out by CTB McGraw Hill. Adult LAS will no longer be a KYAE-approved assessment as of July 1, 2006.</p>	<ul style="list-style-type: none"> ▪ To be used for English as a second language students. ▪ Adult educators must be trained by a certified CASAS or BEST Plus trainer before administering these assessments. ▪ All assessments must be administered in a proctored environment and in accordance with vendor and KYAE assessment guidelines.

OTHER ASSESSMENTS

(NOT USED TO DETERMINE ELIGIBILITY FOR ENROLLMENT)

Providers may offer the Kentucky Manufacturing Skills Standards assessment **only** when an individual's eligibility has been established in accordance with assessment and enrollment policy.

The COMPASS assessment has been crosswalked to the TABE; however, a COMPASS score may not be used for enrollment because the U.S. Department of Education, Office of Vocational and Adult Education, does not recognize COMPASS as an approved enrollment assessment. The COMPASS-TABE crosswalk cannot be used for assessment or enrollment purposes. Existing COMPASS scores may be used in the intake process as an unofficial indication of a student's level. COMPASS testing is not an approved assessment for enrollment in Educational Assessments (AERIN code 15) or Workforce Assessments (AERIN code 25).

In addition to the required standardized pre- and post-assessment instruments, programs should continue to use a variety of formal and informal instruments and procedures to collect valid on-going information regarding student instructional needs and progress. Some examples include:

- Computerized assessments
- End of unit tests from textbooks
- Checklists
- Individual projects or products
- Small group projects
- Educator-made assessments
- Project/products with clearly defined criteria or performance standards
- Dated anecdotal records of teaching observations
- Performance samples, including writing samples, journals, audiotapes of student readings or interviews, worksheets
- Role playing
- Student interviews and self-evaluations

Assessments Not Approved for Placement or Reassessment

The following assessment instruments and procedures may not be used for determining entry or exit level:

- Official GED Practice Test (OPT)
- GED (General Educational Development) Tests
- TABE Survey Test
- Short form of BEST (Basic English Skills Test) Oral
- Using different assessment instruments for pre- and post-assessment (i.e., CASAS for pre-assessment; TABE for post-assessment)
- Using the same form of CASAS for both pre- and post-assessment
- Professional judgment
- COMPASS

NATIONAL REPORTING SYSTEM

The National Reporting System (NRS) is the accountability system for the federally funded adult education program, mandated by the [Workforce Investment Act](#) (WIA).

Adult education programs nationwide use NRS levels to provide information to the federal government about student progress. KYAE collects student assessment, demographic and participation data on AERIN to report to the NRS and partners.

Kentucky has six functioning levels for reporting educational gains in adult basic education and five for English as a second language.

NRS LEVELS

To comply with NRS, providers must use the following entry and progress levels.

Adult Education Levels

- **Beginning Literacy (grade level 0-1.9)**

TABE (9-10), TABE (7-8) or Workplace TABE
Test Benchmarks: Reading: 367 and below
Total Math: 313 and below
Language: 392 and below

- **Beginning Basic Education: (grade level 2-3.9)**

TABE (9-10), TABE (7-8) or Workplace TABE
Test Benchmarks: Reading: 368 - 460
Total Math: 314 - 441
Language: 393 - 490

- **Low Intermediate Basic Education: (grade level 4-5.9)**

TABE (9-10), TABE (7-8) or Workplace TABE
Test Benchmarks: Reading: 461-517
Total Math: 442-505
Language: 491-523

- **High Intermediate Basic Education: (grade level 6-8.9)**

TABE (9-10), TABE (7-8) or Workplace TABE
Test Benchmarks: Reading: 518-566
Total Math: 506-565
Language: 524-559

WorkKeys

Test Benchmarks: Reading for Information: 75-78
Writing: 75-77
Applied Mathematics: 75-77

- **Low Adult Secondary Education: (grade level 9-10.9)**

TABE (9-10), TABE (7-8) or Workplace TABE

Test Benchmarks: Reading: 567-595
Total Math: 566-594
Language: 560-585

WorkKeys

Test Benchmarks: Reading for Information: 79-81
Writing: 78-85
Applied Mathematics: 78-81

- **High Adult Secondary Education: (grade level 11-11.9)**

TABE (9-10), TABE (7-8) or Workplace TABE

Test Benchmarks: Reading: 596 and above
Total Math: 595 and above
Language: 586 and above

WorkKeys

Test Benchmarks: Reading for Information: 82-90
Writing: 86-90
Applied Mathematics: 82-90

English as a Second Language Levels

- **Beginning ESL Literacy**

Test Benchmarks: ALAS R/W 1-43, Math 1-22
CASAS: 165-180
Oral BEST: 0-15
Literacy BEST: 0-7
BEST Plus: Below 401

- **Beginning ESL**

Test Benchmarks: ALAS R/W 44-83, Math 23-42
CASAS: 181-200
Literacy BEST: 8-46
Oral BEST: 16-41
BEST Plus: 401-438

- **Low Intermediate ESL**

Test Benchmarks: ALAS R/W 84-115, Math 43-58
CASAS: 201-210
Oral BEST: 42-50
Literacy BEST: 47-53
BEST Plus: 439-472

- **High Intermediate ESL**

Test Benchmarks: ALAS R/W 116-138, Math 59-69
CASAS: 211-220
Oral BEST: 51-57
Literacy BEST: 54-65
BEST Plus: 473-506

- **Low Advanced ESL**

Test Benchmarks: ALAS R/W 139-188, Math 70-94
CASAS: 221-235
Oral BEST: 58-64
Literacy BEST: 66 and higher
BEST Plus: 507-540

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GED Test Readiness

The GED testing regulation, 785 KAR 1:130 Section 4, requires examinees be certified as “test ready.” The GED Official Practice Test (OPT) shall be administered under standard conditions as specified in the *Examiner’s Manual*. Approved forms for the practice test are Practice B (PB), Practice C (PC), Practice D (PD) and Practice E (PE). Practice A (PA) should be limited to use as a retest after other forms have been exhausted.

Individuals with a documented disability shall be presented with the same accommodations on the GED Official Practice Test as will be necessary for the GED Test. The GED OPT is available in French and Spanish.

Test Readiness Certification is verified on the KYAE-6 by the signature, address and the four-digit provider code number of the county adult education supervisor or instructor.

785 KAR 1:130, Section 4(1)(a), requires applicants to achieve the same scores on the OPT as required to pass the GED, a minimum standard score of at least 410 on each sub-test and an average of 450 on the OPT. Applicants may not be certified as “test ready” until all sub-tests have been passed. If an applicant passes the five sub-tests with a minimum standard test score of 410 but does not attain an average standard score of 450, the students shall be eligible to retake one or more sub-tests to raise the overall score. OPT scores must be entered in AERIN.

KYAE providers are designated to administer the OPT and sign the KYAE-6 form. KYAE may designate other entities to administer the OPT and to sign the KYAE-6 form. These agencies shall annually petition KYAE to become a certified entity.

Program funds may not be used to pay GED test fees or GED recognition ceremonies.

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Performance and Accountability

The federal [Workforce Investment Act](#) requires a comprehensive performance accountability system to measure the success of adult education programs. KYAE uses the NRS core and an additional performance indicator for this purpose and holds providers responsible for meeting the indicators. At a minimum, county programs are expected to meet their enrollment goals and at least 50 percent of their performance indicators each fiscal year.

PROGRAM REVIEW AND CONTINUOUS IMPROVEMENT

To assist programs in meeting or exceeding goals, KYAE reviews program data to facilitate continuous improvement to help students meet their goals. KYAE monitors programs through desk reviews and onsite reviews.

Using multiple sources of information, KYAE conducts ongoing desk reviews on all county programs to determine contract compliance. These ongoing desk reviews include analysis of quantitative data that programs submit to KYAE through the AERIN system and information from audits and other sources.

Onsite reviews are conducted in special circumstances. Examples of special circumstances include, but are not limited to, programs with new fiscal agents, programs with special needs, programs that request onsite reviews and programs in Tiers 3, 4 and 5 (see below). Before the onsite visit, programs may be required to conduct a self-review, which is the foundation for an improvement plan. The onsite review allows KYAE to verify data and look at processes and qualitative information about local programs. Onsite reviews also provide an opportunity for gathering more data and for elaborating on the initial findings of desk reviews as well as discussions with staff related to the program quality indicators.

At the beginning of each fiscal year, KYAE reviews each program's final enrollment and performance data and places each program in one of five tiers. County programs with new fiscal agents will not be placed in a tier until after the first full fiscal year of operation.

TIER	CRITERIA	ACTION
1 Met Goals	Met 100 percent of enrollment goal <u>and</u> at least 50 percent of performance indicators.	Continue meeting enrollment goals and performance indicators.
2 Progressing	Met at least 90 percent but less than 100 percent of enrollment goal <u>and</u> at least 50 percent of performance indicators.	Program may opt to conduct self-review. KYAE conducts desk review to determine progress.
3 Needs Improvement	Met at least 90 percent of enrollment goal but did not meet at least 50 percent of performance indicators. OR Met 50 percent of performance indicators but did not meet at least 90 percent of enrollment goal.	Program conducts self-review; submits to KYAE. Program submits program improvement plan to KYAE. KYAE reviews and approves plan. KYAE stays in contact to determine progress. Program may opt to attend training on program improvement.
4 Pre-probation	Failed to meet 90 percent of enrollment goal and at least 50 percent of performance indicators for one fiscal year. OR In Tier 3 with no progress in enrollment or performance indicators for two consecutive fiscal years.	Program conducts self-review; submits to KYAE. KYAE team makes onsite visit. Program submits program improvement plan to KYAE. KYAE reviews and approves plan. Program implements plan and submits monthly progress reports. KYAE conducts desk review. Program attends required program improvement training.
5 Probation	Failed to meet at least 90 percent of enrollment goal and at least 50 percent of performance indicators for two consecutive fiscal years.	KYAE Leadership notifies fiscal agent. Program conducts self-review; submits to KYAE. KYAE team makes onsite visit. Program submits program improvement plan to KYAE. KYAE reviews and approves plan. Program implements plan and submits monthly progress reports. Program attends required program improvement training. KYAE conducts desk review. KYAE determines continuation of funding.
New Fiscal Agent	Enrollment and performance data assessed at the end of the first fiscal year to determine tier placement for next year.	KYAE provides technical assistance.

TIER 1 – MET GOALS

To qualify for performance incentive funding, county adult education programs must meet or exceed enrollment goals for core services and at least 50 percent of the county's performance indicators.

If the enrollment goals are met, providers are eligible for an incentive based on achieving a percentage of performance indicators as illustrated below. Performance incentive funding is based on a percentage of a county's level of core services funding. Programs such as corrections education, EL/Civics and Workforce Alliance are not available in every county and do not qualify for performance incentive funding.

PERCENTAGE OF PERFORMANCE INDICATORS ACHIEVED	INCENTIVE (PERCENTAGE OF BASE FUNDING)
50 percent – 59 percent	5 percent
60 percent - 69 percent	6 percent
70 percent - 79 percent	7 percent
80 percent - 89 percent	8 percent
90 percent - 99 percent	9 percent
100 percent	10 percent

TIER 2 – PROGRESSING

County programs that meet at least 90 percent but less than 100 percent of the enrollment goal and at least 50 percent of performance indicators are placed in Tier 2.

Counties in Tier 2 may opt to complete the Program Self-Review Guide. KYAE conducts desk reviews to determine progress.

TIER 3 – NEEDS IMPROVEMENT

Programs are placed in Tier 3 for two reasons: 1) The program met at least 90 percent of the enrollment goal but did not meet at least 50 percent of performance indicators for a single fiscal year or 2) The program met at least 50 percent of performance indicators but did not meet at least 90 percent of the enrollment goal for a single fiscal year.

Counties in Tier 3 are required to complete the Program Self-Review Guide and submit a program improvement plan. KYAE reviews the plan and stays in contact with program to determine progress. Programs may elect to attend program improvement training.

Counties in Tier 3 for two consecutive fiscal years with no progress in enrollment or performance indicators will be in Tier 4.

TIER 4 – PRE-PROBATION

Counties that fail to meet at least 90 percent of the enrollment goal and at least 50 percent of performance indicators for a single fiscal year will be in Tier 4 and will be notified of such in writing. Also, counties in Tier 3 with no progress for two consecutive fiscal years will be in Tier 4 in the third fiscal year.

Once a program is notified of pre-probation status, the following steps occur:

1. **Program Self-Review** – The program completes the Program Self-Review Guide, which includes indicators of program quality. The completed form is returned to KYAE for review.
2. **Onsite Review** – A KYAE continuous improvement team conducts an onsite review guided by the results of the program's self-review and makes recommendations for improvement.
3. **Program Improvement Plan Development** – Based on self-assessment and data, the provider develops a program improvement plan that addresses the key areas for improvement. Each goal area includes action steps, benchmarks and timelines.
4. **Improvement Plan Review** – KYAE accepts or rejects the plan based on whether it rigorously addresses the areas of concern.
5. **Improvement Plan Implementation** – The provider implements the plan and submits monthly progress reports.
6. **Desk Review** – KYAE continually monitors program data.
7. **Required Training** – Programs are required to attend Orientation to Program Management Part I and II, plus additional leadership training throughout the year.

TIER 5 – PROBATION

Programs that fail to meet at least 90 percent of the enrollment goal and at least 50 percent of performance indicators for two consecutive fiscal years will be placed on probation.

Programs will be notified of probationary status by KYAE. A KYAE continuous improvement team will be assigned. Programs will be required to repeat steps 1-7 above.

Probationary programs not making sufficient progress by March 30 of the probation year are subject to contract termination.

NEW FISCAL AGENT TIER

Programs with new fiscal agents are in the "New Program Tier" for the first fiscal year. Based on the program's final enrollment and performance data for the first year, new programs will be placed in Tiers 1-4 in the second fiscal year.

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Personnel

Personnel changes must be reported to KYAE on a [revised personnel worksheet](#) within 10 days of changes.

The following guidelines should be used to recruit and hire personnel and develop job descriptions. The minimum requirements for each title are mandatory.

CLASS TITLE: Program Director

CHARACTERISTICS OF THE CLASS: Provides program direction; plans, develops, implements and evaluates all aspects of program.

EXAMPLES OF DUTIES:

Management:

- Oversees the day-to-day operation of program.
- Initiates and facilitates change for continuous program improvement and capacity building.
- Understands, interprets and assures compliance with federal and state laws and regulations.
- Establishes procedures to meet performance measures for program accountability.
- Initiates program planning, develops goals and plans for meeting objectives.
- Provides leadership in development of curriculum, retention activities and other student services.
- Promotes safe work environment.
- Establishes procedures for collecting, documenting and reporting data and ensures accountability.
- Communicates regularly with staff and involves them in planning through a variety of formal and informal means.
- Oversees recordkeeping.

Instruction:

- Provides instruction in literacy, ABE/GED, ESL, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.

Personnel:

- Assures appropriate program staffing.
- Supervises, observes and evaluates staff.
- Coordinates activities of instructional staff to ensure effective program operation.
- Assists staff in developing Individual Professional Development Plan (IPDP).
- Promotes professional development opportunities and adheres to the professional development policy.

Fiscal:

- Manages fiscal resources and reports financial information.
- Identifies additional resources and initiates plans to secure them.
- Prepares and monitors all aspects of budget.
- Monitors contract compliance and cooperative agreements.
- Monitors and approves purchasing.

Community:

- Advocates and promotes adult education program within community.
- Builds partnerships to enhance the availability, quality and delivery of services.
- Participates in local organizations (P-16 councils, WIA boards, One-Stops, etc.).

Leadership:

- Models professional behavior and requires other staff members to act in a professional manner.
- Promotes the philosophy, goals and objectives of adult education at local, state and national levels.
- Promotes an environment in which cultural and philosophical diversity is valued and appreciated.
- Cultivates an atmosphere of respect for all staff and students.
- Provides instructional leadership by initiating and monitoring the process of curriculum development and supports instructional strategies based on research in adult learning and development.
- Recruits students to meet enrollment goals.

MINIMUM REQUIREMENTS:

- All program directors hired after July 1, 1998, shall possess a minimum of a bachelor's degree.
- All new program directors hired after July 1, 2004, shall possess a bachelor's degree and three years of administrative/management experience; a master's degree can substitute for two years of the administrative/management experience. A bachelor's or master's degree in administration, education or a related field is preferred.

CLASS TITLE: Instructor

CHARACTERISTICS OF THE CLASS: Provides instruction to adult education students. Plans, implements, documents and evaluates instructional practices, procedures and materials. Directs and coordinates all aspects of a family literacy program. Provides direct, on-site daily supervision of instructor's aides.

EXAMPLES OF DUTIES:**Instruction:**

- Provides instruction in literacy, ABE/GED, ESL, workplace, family literacy and/or citizenship. Applies research-based instructional practices that incorporate the use of computers and other technologies.
- Is knowledgeable of reading, writing and/or math instructional strategies.
- Uses a variety of instructional strategies and tools appropriate to the needs of the student; for example, Kentucky Virtual Adult Education, PLATO, WIN, WorkKeys, etc.
- Uses lesson plans that integrate instruction across content areas.
- Provides continuous feedback and adjusts instruction to maximize student learning.
- Works with colleagues to develop and evaluate curriculum and materials.
- Integrates work-, family- and community-related activities into instruction.
- Administers and interprets appropriate placement and diagnostic tests.
- Applies adult education principles and methods in the workforce classroom.
- Delivers instruction on workplace essential skills.
- Facilitates the transfer of learned skills from the classroom to the job.
- Uses job/task analysis (JTAs) in planning instruction and developing workforce education curricula.
- Incorporates SCANS skills in the workforce education instructional process.
- Plans learning experiences that are interactive and relevant to the specific workplace environment.
- Customizes and develops workforce education curriculum and lesson plans that facilitate transference from the classroom to the job based on the workforce goals and expected training outcomes.
- Provides PACT and parenting activities.
- Prepares lessons and plans instructional support activities carried out by instructor's aides.
- Evaluates the achievement of students with whom instructor's aides are working.

Assesses and Monitors Learning:

- Uses formal and informal assessment data to monitor and document student progress.
- Collects and manages accurate data for program improvement and accountability.
- Participates in the retention and follow-up of students.

Classroom Management:

- Maintains knowledge of program regulations, policy and procedures.
- Maintains student records.
- Supervises and monitors instructor's aides.

Community:

- Makes referrals to community agencies or postsecondary institutions as appropriate.
- Advocates literacy at the local and state level and explains the impact of under-education on employment and society.
- Assesses adult education needs and promotes program in community.
- Promotes use of community resources and participates in activities of other community agencies.
- Coordinates family literacy and collaborates with appropriate services and agencies.
- Integrates the four components of family literacy to create a comprehensive family literacy program.
- Recruits families and matches them with instructional staff.

Individual Professional Development:

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing an Individual Professional Development Plan.

MINIMUM REQUIREMENTS:

- As of July 1, 1998, all new instructors shall possess a minimum of a bachelor's degree. A degree in education or a content-related field is preferred.

CLASS TITLE: Instructor's Aide

CHARACTERISTICS OF CLASS: Works under the direct, on-site daily supervision of a qualified instructor. Assists qualified instructors in the delivery of instruction, support and related services.

EXAMPLES OF DUTIES:**Instruction:**

- Follows directions of instructor and works as an effective member of the instructional team to ensure the success of all students.
- Carries out instructional support activities prepared and planned by instructor.
- Assists instructor in review and selection of instructional materials.
- Is capable of supporting reading, writing and/or math instructional strategies.
- Implements a variety of instruction methods as directed by instructor.
- Assists instructor in providing feedback to student and in checking for understanding of instructional goals.
- Is familiar with the instructor's teaching methods for individual and group activities and provides instructional support.
- Monitors and observes student behaviors and shares observations with instructor.

Recordkeeping:

- Assists in implementing, recording and monitoring student educational plan.

- Assists in administering, scoring and evaluating diagnostic tests.
- Assists in preparing student folders and maintaining records of student progress.
- Assists in collecting data for reports.

Program:

- Organizes, uses and maintains supplies, materials and equipment.
- Assists in providing non-instructional support for students and families.
- Understands community resources and discusses possible referrals with instructor.

Individual Professional Development:

- Participates in required professional development activities.
- Uses technology resources to engage in ongoing professional development and lifelong learning.
- Assesses personal strengths and weaknesses as a basis for developing an Individual Professional Development Plan.

MINIMUM REQUIREMENTS:

High school diploma or GED. An associate's degree is preferred.

CLASS TITLE: Clerk

CHARACTERISTICS OF THE CLASS: Performs clerical functions and performs other duties as required.

EXAMPLES OF DUTIES:

- Collates, files and/or prepares documents and reports.
- Collects and enters data for reports.
- Maintains documents and reports.
- Audits reports for accuracy.
- Performs receptionist duties.
- Operates office machines such as copier, calculator, video terminal, microfilm or audio-visual equipment.
- Opens, sorts, prepares, sends and distributes mail.
- Assists in the security and maintenance of test materials.
- Performs basic bookkeeping duties such as counting receipts, bank deposits and payment vouchers.
- Follows established methods and procedures.

MINIMUM REQUIREMENTS:

- High school diploma or GED.

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Professional Development

Professional development is defined in 704 KAR 3:035 Section (2) (10) as “those experiences which systematically over a sustained period of time, enable educators to acquire and apply knowledge, understanding, skills and abilities to achieve personal, professional and organizational goals and to facilitate the learning of students.”

INDIVIDUAL PROFESSIONAL DEVELOPMENT PLANS

Every instructor and instructor's aide must complete an annual Individual Professional Development Plan (IPDP) in collaboration with the program director. Program directors must also complete an annual professional development plan. The IPDP should focus on professional learning and growth to support program improvement and student outcomes. Plans must be completed by September 15 of each year. KCTCS Action Plans and KDE Individual Growth Plans may be used in place of KYAE IPDP. Supervisors must approve all plans, which must be kept on file at the local adult education center.

As adult educators participate in professional development activities throughout the year, documentation of attendance should be kept on file.

[A new Web-based management system to track professional development is under development. Once PDtrack is launched, IPDPs and documentation of attendance will be filed electronically.]

PD REQUIREMENTS

Each professional development activity is awarded professional development units or PDUs. The number of PDUs for each activity is determined by learning outcomes and not seat time. (For further information, see [2005-06 PD Handbook](#).)

NEW ADULT EDUCATORS

There are specific core requirements for the first two years of employment (see [2005-06 PD Handbook](#) for core requirements).

EXPERIENCED ADULT EDUCATORS

- Full-time: Staff employed an average of 20 hours or more each week must complete 8 PDUs annually.
- Part-time: Staff employed an average of 19.75 hours or less each week must complete 2 PDUs annually.
- Less than 50 hours per year requires no PDUs.

KYAE-approved PD activities are listed on the PD calendar at www.kyvae.org or may be found in the 2005-06 PD Handbook. To receive PD credit for completion of courses, participants must attend the entire session and complete any on-line assignments.

ADDITIONAL PD REQUIREMENTS

Each program must have personnel trained in the following:

- Kentucky Adult Educators Literacy Institute (KAELI) – All programs are required to have at least one [KAELI](#) trained instructor.
- PLATO (must be from a KYAE-approved trainer)
- WIN (must be from a KYAE-approved trainer)
- Computer-based GED Official Practice Test (OPT)
- Kentucky Adult Educators Math Institute (KAEMI) – This requirement will go into effect when KAEMI is established.
- AERIN (annual training for staff assigned data entry)
- PDtrack

FISCAL GUIDELINES FOR PROFESSIONAL DEVELOPMENT

Local providers shall comply with the travel policy of their fiscal agent. Fiscal agents without a formalized travel policy may choose to adopt the [state travel policy](#).

Revised October 1, 2005 – See [History of Changes](#)

Funds allocated for professional development shall be used to support KYAE-sponsored initiatives and those approved PD activities that are consistent with KYAE priorities, program improvement and student learning.

Providers shall use the following guidelines:

REGISTRATION FEES

The actual cost of registration for an activity sponsored by a professional organization or a state agency (for KYAE-sponsored training) is eligible for reimbursement.

TELEPHONE CALLS

Long distance telephone calls are not reimbursable.

SUBSTITUTE TEACHERS

Professional Development funds shall not be used to pay a substitute teacher when the regular staff person is attending PD training.

SALARIES

Professional Development funds may be used to pay an instructor's stipend/salary while attending training.

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Funding

Each Kentucky county is entitled to a base funding level determined by formula for core services and family literacy. County program providers are selected through a request for proposal process (RFP) determined by KYAE.

The Adult Education Act of 2000 requires services to be targeted to communities with the greatest need; therefore, the funding formula is based on the number of adults in each county functioning at low literacy levels. Funding is distributed through grants to eligible organizations in every Kentucky county based on a request for proposal process determined by KYAE.

Adult education programs in counties with full-service jails as recommended by the Kentucky Department of Corrections must provide corrections education in these jails. The only exception to this requirement is in counties where the jailer states in writing that adult education services are prohibited. Counties required to provide services will receive corrections education funding. Because of federal restrictions on the funding dedicated to corrections education, programs cannot use core services funds to provide or supplement corrections education.

Workforce Alliance funds for workforce education projects are available through successful application pending the availability of funds.

English Literacy/Civics funding is available on a limited basis to adult education providers based on an RFP process determined by KYAE.

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Administrative

FINANCIAL REPORTING

Providers shall be reimbursed for reasonable, allowable and actual costs incurred if costs are specified in the contract. Providers must invoice on a monthly basis. Invoices are due on the 10th of each month; refer to the contract for end-of-the-year invoicing requirements. Failure to comply with these deadlines may result in payment being delayed or withheld.

Administrative expenses may not exceed 15 percent of the total amount invoiced for core services/family literacy or Workforce Alliance grants or 5 percent of the total invoiced for corrections education or EL/civics.

WORKING CAPITAL ADVANCE

In accordance with the federal *Cash Management Improvement Act*, eligible providers that lack sufficient working capital may submit a written request for a working capital advance. The amount of the advance cannot exceed one quarter of the approved budget. Upon approval, the recipient of the advance must submit monthly invoices for cost reimbursement. If the total disbursement amount exceeds the actual costs incurred, the provider shall reimburse the state.

EXPENDITURE REPORTS AND TIMESHEETS

Providers shall use the KYAE-10 Expenditure Report Form and the TS1 timesheet. A separate expenditure report form shall be completed for each program (core services, corrections, workforce education, etc.) by county. For fiscal agents administering more than one county, a report shall be submitted for each county individually and summarized collectively by contract. KYAE-10 reports shall indicate the funding source to which expenditures are charged. Incomplete or incorrect KYAE-10 reports shall be returned to the provider and may result in payment being delayed or withheld.

BUDGET AMENDMENT REQUEST FORM

Provider expenditures shall not exceed the line item allocations or budget total as specified in the contract. To make changes to the contract budget, providers must submit a Budget Amendment Request Form (page two of the Expenditure Report Form). To change a line item more than 10 percent, providers must indicate "amendment request" on the form. Written KYAE approval must be obtained before a provider may reallocate funds among line items. To change line item amounts by 10 percent or less, providers must submit the form and indicate the change as "realignment."

INVENTORY REPORTING

Providers shall submit an annual Inventory Report (INV-1) by August 31 of each year and list all purchases made during the previous contract year of non-consumable items with a useful life greater than one year.

RECORDS

Providers shall retain all records and accounts that relate to KYAE grants for a period of three years from the close of the grant and shall make those records available for inspection and audit by KYAE or an authorized representative.

DATA COLLECTION AND REPORTING

Providers are required to submit data electronically using the management information system. Failure to comply with the following deadlines may result in the withholding of payment:

- County adult education providers shall submit student data (for example, enrollment, goal attainment) by the 10th of the month for the previous month.
- Daily student contact and attendance hours shall be entered at least monthly by the 10th of the month for the previous month. NRS defines [contact and attendance hours](#) as “hours of instruction or instructional activity the learner receives from the program. Instructional activity includes any program-sponsored activity designed to promote student learning in the program curriculum, such as classroom instruction, assessment, tutoring or participation in a learning lab. (Note: Time spent on assessment can be counted only if the assessment is designed to inform placement decisions, assess progress or inform instruction. Time used to take the GED test, for example, cannot be counted as instructional activity.)”
- Providers shall update all separations by the last day of the quarter (September 30, December 31, March 31 and June 30).
- Final program year data shall be entered into AERIN by July 10.

KYAE regularly updates the AERIN Users' Manual to incorporate NRS changes. Updates on system changes and revisions to the Users' Manual are announced and posted on KYAE's Web site www.kyae.ky.gov. New users are required to complete a training session prior to being issued a user identification number.

Revised November 3, 2005 – See [History of Changes](#)

TECHNOLOGY

Fiscal agents shall provide technical support for maintenance of hardware and network.

County programs must have at least one site with technology and connectivity to offer curriculum and related learning products available on the Internet.

Providers are required to have access to the World Wide Web, KYAE's Web site (www.kyae.ky.gov) and e-mail services via a dedicated line.

All full-time instructors shall have an individual e-mail address.

EQUIPMENT AND SUPPLIES

Providers must have appropriate assessment and instructional materials to meet the needs of their students. The assessment instruments shall be kept in a secure environment according to vendor requirements.

Any non-consumable item purchased with adult education funds shall revert to Kentucky Adult Education at the end of the project or at program closure.

FACILITIES

Facilities housing adult education programs shall:

- Be in compliance with the Americans with Disabilities Act of 1990.
- Have posted hours of operation.
- Have appropriate exterior signage identifying the state and federal funded programs.
- Provide a safe learning environment.
- Provide an age appropriate setting.

Programs providing adult education services shall:

- Offer students flexible schedules and support services.
- Provide at least one site with technology and connectivity to offer curriculum and related learning products available on the Internet.

COST FOR FACILITIES

State and federal funds are to be used for program services. Fiscal agents are encouraged to seek donated or in-kind space in order to provide maximum resources to the students. If lease expenditures are necessary, they shall meet the definition of reasonable as defined in federal circulars (A-87, A-122 and others) as applicable.

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